

**Divisional Planning Guidelines**  
**Enabling the implementation of the University's**  
**Key Strategic Directions 2005-7**

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**Office of Planning and Quality**  
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### **Divisional planning guidelines**

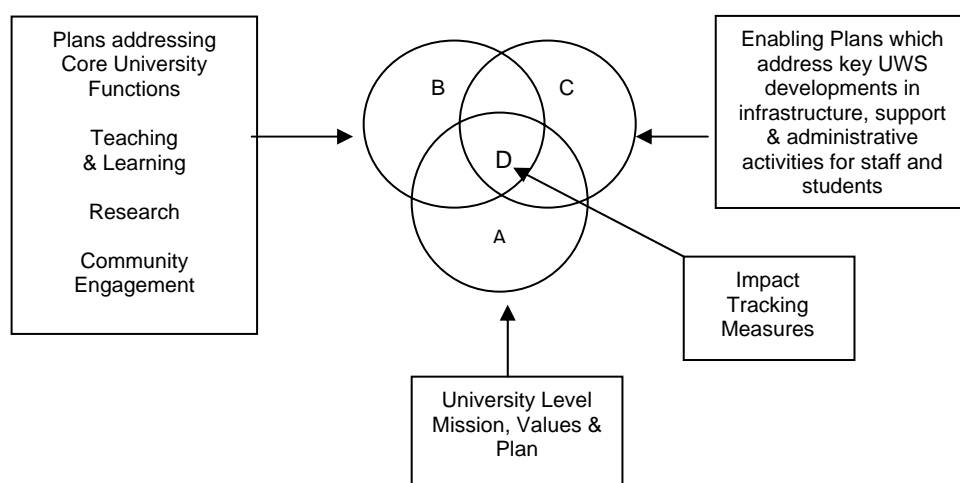
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**These guidelines support the document entitled  
“Record of the Division’s Support Plan for the Strategic Development of UWS  
2005-7”**

## THE UWS PLANNING PROCESS

Diagram One provides an overview of the Planning process. Its intention is to enable everyone involved in the implementation of the current UWS Strategic Plans to see what their role is and how the many plans which are being developed can work together.

**Diagram One**  
**UWS Strategic Planning Framework**



Circle A represents the University level plan: *The vision, mission and strategic plan of the University of Western Sydney*. This document identifies the University's core values and overall strategic directions (Attachment One). In doing this it sets the overall parameters within which more specific university level and local plans operate.<sup>1</sup>

Circle B in Diagram One represents the individual plans which address the core University functions of Teaching & Learning, Research and Regional & Community Engagement and which arise out of the overall University Plan (A). The three plans identify a set of Strategic Goals and Priorities for each core function which will enable the University to achieve its overall mission, values and key strategic directions.

Attachment Two summarises the overall strategic goals, priorities and targets for each of these core functions.

Circle C represents the wide range of whole of university infrastructure, support service and administrative plans that Divisions/Units are developing or need to develop to ensure that the University's strategic development priorities are effectively, consistently and sustainably put into practice (implemented).

If the University's mission and values, as represented in its key performance indicators, are to be achieved then the plans and key activities represented in A, B and C will have to be working in alignment and synergy. That is, developments in the areas like client services, policy formation & compliance, support systems, infrastructure and student administration will need to specifically support and enable the successful implementation of developments in A & B. And, most importantly, the

<sup>1</sup> In an AUQA audit it will be expected that staff at all levels understand the University's overall directions and goals and are able to say how, when applicable, they address them in their particular area of work.

combined impact of these mutually reinforcing plans will have to be demonstrably positive (D in Diagram One).

### **Ensuring that the implementation of the University's Strategic Plans is effective**

This process is being guided by research on effective approaches to strategic planning and implementation in universities. This 'good practice' research is summarised first as a set of strategic planning principles (Attachment 3) and then as a set of effective change implementation lessons (Attachment 4). The former is being used to inform the overall implementation coordination and support strategy at the University level and the latter as a guide to focus and support effective local implementation action at the Divisional, College, School and Unit level.

### **Different types of University Plans**

It is very important to distinguish between operational plans, improvement plans and a plan which directly enables the University to achieve its key strategic directions.

Operational plans are concerned with ensuring that the Division's and its Units' ongoing, routine activities and systems are delivered efficiently and effectively. Improvement plans arise out of an analysis of regular client feedback on the quality of these activities and systems. They involve action plans focused on making sure agreed areas for improvement in current activities are addressed promptly and wisely. This document does not focus on these important operational or improvement plans. OPQ will be working separately with Divisions on their quality improvement plans as part of the University's preparations for its AUQA audit in 2006.

Rather, the focus here is on helping the Division and its Units identify what key enabling developments are necessary to ensure that the key directions of the university, now translated into locally relevant action plans by each College, are successfully and sustainably implemented.

## **DIVISIONAL PLANNING**

### **Developing a divisional enabling plan which aligns with the University's key strategic directions and needs**

This requires the Division and its Units to do two things. Both of these steps are consistent with the research on effective strategic planning and change management in universities (see Attachments 3, 4 and 5).

First, it is important to consider what needs to be done by the Division to ensure that the key action plans now identified by each College are effectively supported during their implementation.

At the same time it is necessary to identify key overall developments in the University's infrastructure, support and administrative systems which must be addressed at a corporate level if Colleges and UWS as a whole are to continue to operate effectively into the future. Such developments may not be identified by Colleges in their plans as their focus has been on how best to set and action key developments in the core areas of learning, research or community engagement. However, they remain critical to their daily operations. Examples here include figuring out how best to deal with a significant turn over of staff, as the baby boomers approach retirement age; how to ensure that the IT infrastructure of the University remains current, in alignment with operational and strategic needs and cost effective;

how to ensure that the University remains in compliance with constantly changing legal and reporting obligations; how to ensure that it optimises its share of DEST student places under a new funding regime and figuring out how best to manage its physical and financial resources and associated processes.

In addition, Divisions have already started looking at the implications of the University's Three Core Strategic plans and the recent Academic Program Review for their own development priorities.

### **Making the Divisional planning process as efficient and productive as possible**

The process suggested below is not only consistent with the research on effective change management in higher education (Attachments 3 -5) but it has also been endorsed in discussions over the past two months with the University Executive and a wide range of Directors and staff from the three UWS Divisions.

It is important to note that a wide range of planning and review work has been undertaken in recent years, the results of which can, if cross referenced, be used to inform the establishment of informed and relevant priorities for each Division's key directions and its action priorities over the coming triennium. This includes the priorities set by the Chancellor and Vice-Chancellor, the transition plans completed by Divisions, Annual College and Unit Performance Reports, recent UWS financial position papers, the outcomes of a wide range of key reviews, and key findings from the 2003 AUQA self-assessment and quality of service projects. There is also a range of broad social, economic and demographic projection data available on the development of GWS, much of which has been summarised in the University's Key Strategic Plan.

Finally, as already noted, the Colleges have now produced a final draft of their key strategic directions which are consistent with the University plans. Their planning records include identified action projects and teams and indicate the sorts of central, divisional support which would best assist them.

#### ***(i) Linking Divisional Support to the key strategic developments of Colleges***

It is proposed that, starting with the 2004 Senior Managers Retreat, Divisions talk specifically with Colleges about their strategic intentions 2005-7 in order to identify what sorts of Divisional assistance would be most useful and feasible. It would also be important to identify who is the appropriate Divisional contact for ensuring delivery of the support agreed. In many cases it might be appropriate for this person to join the College action team for the priority.

It should be noted that not every Unit will have a role in supporting every College strategic direction. To assist the process of identifying where Divisions might directly assist Colleges, OPQ will be providing a summary of the key College Directions and requested areas for Divisional support.

#### ***(ii) Setting Divisional Priorities to ensure the Sustainability and the efficient operation of UWS and the enabling of the UWS Strategic Directions***

The two Deputy Vice-Chancellors and the University Secretary and three PVC's are also working with their Directors and staff to identify key developments which must be undertaken and delivered efficiently and effectively if the University as a whole is to remain sustainable and operate efficiently in a rapidly changing environment. Whereas part of the Divisional Plan needs to look to the needs of Colleges (i), it is equally important to ensure that key developments in UWS administration, decision-making, infrastructure, human resources profile, financial management and legal

compliance are identified, addressed and linked directly to the work of other Divisions and Colleges.

Some key priorities in this regard have already been noted. Others identified in earlier research and confirmed in OPQ discussions with hundreds of staff and students over the past three months include addressing:

The challenges of having to operate in a multi-campus environment:

- The University's Multi-campus environment makes it hard to provide the same level of services as Universities operating on a smaller foot print. Yet student expectations in this area are increasing.
- Communication becomes a greater challenge as staff seek to be 'in the loop' about the big issues but don't want un-strategic waves of email information, the relative importance of which is left unclear.
- Because of the geographic spread of campuses there is the possibility that the right staff member for a position may not want to move to a distant campus.
- Identifying and consistently implementing new, proven modes of communication, learning design and delivery which are known to work best in a multi-campus environment has emerged as a key way of responding to these challenges.

The need to overcome some cultural issues uncondusive to effective change

- A reported preference for a teacher-centred model of learning design and delivery which, in a multi-campus environment creates major resource problems and may not, in fact, be what all students want.
- Pockets of staff saying 'why don't they' rather than 'why don't we'.
- Widespread interest in moving, whenever possible, to a more coordinated, proactive rather than reactive approach to management. This issue is being addressed, for example, in the formulation of the UWS Complaints Management System.
- The University emerges as a 'dark warehouse' in which there is much gold that is not being identified and linked– again suggesting the need for a more proactive, targeted and systematic approach.
- The need for synergy between core and support activities and directions is not always being explicitly addressed.
- Large numbers of meetings with unclear outcomes as the default for communication, planning and 'involvement'.
- Need to identify the optimum way in which to get cost-benefit from consultants.
- Development of carefully selected, cross-functional teams to action key strategic directions in order to 'link the left and the right hands'.
- Need to understand that strategic change is about where to put the balance between what appears to be apparently contradictory approaches (Attachment 4).
- A need to be more strategically 'plugged' into external higher education networks.

There is some alignment between these observations and the broader research on university cultures supportive and unsupportive of effective change (Attachment 5).

### **Working collaboratively and with an agreed focus**

As the research on effective strategic change in higher education repeatedly indicates (Attachment 4) not only must the development priorities of Divisions be in explicit alignment with what Colleges have planned and the emerging support needs

of UWS in a period of rapid external change, but also how the process of developing and implementing the response to these change pressures is managed is critical. The motto here is, as Canada's Michael Fullan observes: "Good ideas with no ideas on how to implement them are wasted ideas". And UWS, in its current financial position, can ill-afford to waste resources on failed or unnecessary change.

This is why it is important to ensure that not only should every key direction be tested against robust evidence to confirm that it is highly relevant, desirable and feasible but also that how it is led, supported and monitored during implementation be taken very seriously. The key change lessons in Attachment 4 need, therefore, to be given specific attention if the effort put into identifying key strategic priorities for UWS is to be translated into changed daily practice that results in demonstrable benefit for students and other key UWS stakeholders.

For example, we know from the research summarised in Attachment 4 that implementation works best when there is a carefully selected team working to a clear action plan, when this team is led by a carefully identified person who is accountable for making the change work, when the change trialed, evaluated and improved prior to scale up and when the action team is cross-functional – i.e. it is made up of those key players from across the University (all three circles of activity in Diagram 1) whose support is essential for it to be implemented.

Therefore, in recording the Divisional Plan we are asking not only that each key direction selected is justified in the ways outlined above but that it is accompanied by an action plan and a specified action team and accountable leader.

Finally, we know that every change involves those who are to put it into practice in a complex learning and unlearning process as they develop the new skills and understandings necessary to put it into daily practice. And we know that appropriate support for this and other forms of assistance are necessary as implementation proceeds. Therefore we are asking that Divisions indicate, for each key development they identify, what sorts of support will help ensure that it is successfully implemented. OPQ can provide assistance in identifying the sorts of implementation support which work best.

### **Recording your Divisional Enabling Plan for the Strategic Development of UWS**

Please briefly summarise and justify what the Division intends to do over the period 2005-7 to enable UWS to achieve its key strategic directions and to remain sustainable and efficient in its operation. It is requested that this planning record have the following sections:

1. The current situation of the Division.
2. Environmental Scan & its implications for the strategic development of the Division
3. Key developments in Divisional support which have arisen out of direct discussions with Colleges on what assistance they need from specific units in the Division to successfully implement key directions of the College.
  - a. List the Action Team responsible for actioning the projected development in the Colleges and the Divisional contact who will work with them.
4. Key University level support and infrastructure priorities which must be addressed to achieve the University's strategic Directions and efficient and

sustainable operation of UWS 2005-7. For each key development for the Division please identify:

- a. The focus and benefit of each key development
- b. Justification of its central importance to UWS derived from the sources of evidence like those identified earlier in these guidelines;
- c. Who in the Division will be responsible for its leadership and implementation
- d. Which Division, Divisional Units and Colleges will be involved in its implementation and how;
- e. The team responsible for actioning the projected development: the Divisional and agreed College membership.
- f. The plan of action for each development priority including key activities, timelines, milestones for 2005, 2006 and 2007 and a proposed tracking and improvement strategy;
- g. The key sources of support and resources that will underpin implementation
- h. Links and synergies between this area of action and others being pursued by within of between Divisions and across the University.

A proforma and suggestions on how to address each of the above headings is also available.

The intention is to keep the planning focus on integrated action and to make the recording of the Division's intentions as succinct and un-bureaucratic as possible. The record is designed so that the University can quickly identify what is happening in each area using a common format. What is collected in the planning record has been identified as the key information which previous AUQA audits have focused on when appraising the university's approach to and success in implementing key strategic changes and developments. In this way it is intended that the approach being adopted will have multiple pay-offs.

## **COLLEGE PLANNING**

The development of College plans is underway and is approximately on schedule. A draft set of key strategic directions for each College, action plans and support needs have been identified for each direction. The College actions are consistent with the University Plans and a number are common to more than one College.

This information has been summarised by OPQ and will be made available to Divisions as a starting point for their discussions with Colleges on how best to enable the implementation of each College direction.

This approach, as already noted, is intended to make the alignment between Divisional/Unit plans and what is being pursued by the Colleges more explicit.

## **COORDINATION & MONITORING**

### **Annual Review Cycle**

Each year Colleges and Divisions will be asked to report to the UWS Planning and Quality Committee<sup>2</sup> on progress in implementing the action plans for each of their key

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<sup>2</sup> The UWS Planning & Quality Committee was formed as a committee of the UWS Executive in May 2004. It consists of the University Secretary, the Deputy Vice-Chancellors, Pro Vice-Chancellors, and representatives of the Deans and key units. It brings together oversight for three linked activities: implementation of the UWS Strategic Plans, assurance of data integrity and preparations for the UWS AUQA audit. Mirror groups are proposed at the local level.

priorities against agreed targets and tracking measures. This process will be assisted by OPQ. It is anticipated that, although the action plans will be subject to ongoing modification, the key directions for the triennium should be less open to change, unless there is such a dramatic and unexpected shift in the Division's operating environment that a significant change of direction is essential.

Finalised Divisional planning documents will go to the University's Planning & Quality Committee which will:

- Confirm synergies between different Division and College strategies and identify further opportunities for combined action around common priority directions;
- Confirm alignment of the key Divisional directions with the University's overall key strategic objectives and College Plans and that there is attention to supporting the implementation of at least some of the key goals identified in each of the three core university plans;
- Review and, if necessary, suggest enhancements to the action and implementation plans, and the monitoring, support and improvement strategy for each agreed direction;
- Identify the budget implications for ensuring that each Division's action plan is effectively supported. This can include: (a) Support for implementation (b) Reward funding for achieving targets (c) Coordination support for developments being pursued University-wide.

The consolidated Divisional plans, with the PQC's recommendations, will go to VCAC, then to the finance subcommittee of the Executive to finalise budget implications/support and finally to the UWS Executive for sign off prior to being forwarded to the Board of Trustees.

It is proposed that an online staff and stakeholder survey which tracks staff perceptions of the continued applicability and degree of successful implementation of key University goals be held biennially to complement this process.

#### **Links to the UWS AUQA audit**

The above approach is consistent with the benchmarks on effective approaches to strategic planning, implementation and ongoing review identified in the numerous AUQA audits completed to date. It will, however, be important to ensure that the goals, strategies and targets set at both the University and local level are achievable and measurable and that their implementation has been demonstrably tracked and improved prior to audit.

If the University can put the above approach into practice, it should be well positioned for this aspect of its audit by AUQA in 2006.

**Attachment One**  
**UWS Values, Overall Directions & Goals**

Values	Overall directions& Goals
<ul style="list-style-type: none"> <li>• Excellence and quality in all endeavours</li> <li>• Scholarly rigour and integrity</li> <li>• Equity of access and inclusiveness</li> <li>• Collegiality and participatory decision-making</li> <li>• Academic responsibility and freedom</li> <li>• Relevance and responsibility to communities</li> <li>• Ethics and accountability</li> </ul>	<p>To:</p> <ol style="list-style-type: none"> <li>1. Pursue a managed growth strategy</li> <li>2. Have a broad academic profile with a strong professional orientation</li> <li>3. Acquire a diversified revenue base and actively pursue financial self-reliance</li> <li>4. Actively pursue an international focus in its teaching and learning, research and community engagement</li> <li>5. Promote the distinctiveness of its campuses to maximise the visibility and standing of the University across its Region</li> <li>6. Be accessible to its students and staff communities in ways that meet their needs</li> <li>7. Have a diverse student body reflecting the communities that it serves</li> <li>8. Be known for the academic scholarship of its students and the professional capabilities of its graduates</li> <li>9. Provide educational opportunities for disadvantaged students from greater Western Sydney</li> <li>10. Foster collegiality and professionalism amongst staff and reward achievement and excellence</li> </ol>

**Attachment Two**  
**Key Goals, Strategies & Targets in the Three Core UWS Plans**

**Teaching & Learning**

Strategic Goals	Priorities	Measure	Target	
1. Provide distinctive professionally oriented & flexible academic programs	1.1 Develop the professional orientation of academic programs	<u>Graduate Satisfaction</u> Overall Satisfaction Good Teaching Generic Skills	Improve explicit and overall graduate satisfaction annually	
	1.2 Ensure relevance, academic integrity & viability of academic programs	<u>Graduate Outcomes</u> % Employed (f/t and p/t) % Seeking work % In further study	Exceed sector average for % of Australian graduates employed each year	
	1.3 Pursue a targeted growth strategy to enhance flexibility through E-learning	<u>E-learning environment</u> Number of units with online supported website	Gain parity with Sydney universities in % seeking work	
	1.4 Ensure that assessment practices in academic programs support & enhance student learning	<u>Unit viability</u> Number of UG units with less than 15 enrolments <u>Unit evaluation</u> Student feedback on subject units	All units have an online supported web-site by end 2005  Eliminate UG units with < 15 enrolments by 2006	
	2. Enhance the University's reputation for educational excellence and scholarship in teaching, resulting from the professionalism of staff and their commitment to students	2.1 Make explicit the values of educational excellence in staff recruitment & induction processes and in work practices	<u>Evaluation of Teaching</u> Usage of teaching evaluation surveys	Full implementation of unit evaluation surveys by end 2005
		2.2 Provide a well-supported working environment for staff which encourages collaboration, collegiality, efficacy, professionalism, self-reliance & appropriate authority ion decision-making	<u>Staff Development</u> % Expenditure of staff budget on professional development	Annual increase in numbers of staff using teaching evaluation survey
		2.3 Implement a teaching development program to encourage innovation & scholarship in teaching and to enhance the nexus between teaching, research & regional and community engagement	<u>Scholarship of Higher Education Teaching</u> DEST publications in higher education teaching and learning	Implement staff development policy of 2% of staff budget for professional development
		2.4 Recognise & reward excellence in scholarship in teaching	<u>University Reputation</u> Share of first to third preferences of all eligible school leavers  <u>Regional Reputation</u> Eligible applicants from GWS – first to third Preferences	Develop and implement measures of the "scholarship of teaching and learning in higher education"
	3. Ensure a diverse student profile & increase HE participation rates of people in Greater Western Sydney	3.1 Target students with the capacity & motivation to excel academically		
		3.2 Improve higher education opportunities & support for disadvantaged students from GWS	<u>Diversity of Student Profile</u> Numbers of: • Indigenous • low SES • international • postgraduate students (domestic)	Improvement each year in progress and retention rates
		3.3 Increase enrolments & diversity the profile of international students	<u>Students undertaking further study</u> Onshore EFTSU enrolled in honours and higher degrees	
		3.4 Expand educational opportunities for higher degree study & further professional learning	<u>Student Progress</u> Commencing UG Progress Rate Continuing UG Progress Rate Retention rates	
3.5 Develop strong outreach links with schools & community organisations to encourage aspirations for higher education		<u>Student Engagement</u> Number of students in Cooperative programs % of courses with community-	At least 500 students participating in UWS Cooperative Programs by 2008	

<p>4. Provide a high quality, student centred experience at UWS to improve student success and graduation rates</p> <p>5. Ensure that UWS students 'learn to learn' and graduate with the ability to participate actively and responsibly in a changing world</p>	<p>in GWS</p> <p>4.1 Develop a project to enhance student experience &amp; improve student retention</p> <p>4.2 Promote inclusiveness for all students in the educational, social &amp; cultural life of the university</p> <p>4.3 Provide an accessible &amp; service oriented environment to enhance the quality &amp; flexibility of students' learning experience</p> <p>4.4 Foster a climate of openness &amp; responsiveness to student feedback</p> <p>5.1 Define graduate outcomes for academic programs &amp; map their integration into program development, delivery, evaluation &amp; review</p> <p>5.2 Enhance the breadth &amp; diversity of students' educational experience, to ensure they achieve the graduate outcomes</p> <p>5.3 Increase collaborations between Colleges &amp; Schools and support services to ensure coherent development of generic and program-specific graduate attribute.</p>	<p>engaged learning</p> <p><u>Graduate Attributes</u> Documentation of Graduate Attributes in undergraduate programs</p> <p><u>International Engagement</u> Number of UWS students on exchange overseas</p>	<p>Increased community-engaged learning Opportunities</p> <p>UWS Graduate Attributes documented in all undergraduate programs by end 2005</p> <p>Increase annually</p>
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## Research

Strategic Goals	Priorities	Measure	Target
<p>1. Achieve outstanding performance in research &amp; scholarship that is distinguished by its disciplinary focus and relevance to industry, government and the community</p> <p>2. Substantially increase UWS's profile in research output, income and commercialisation of findings</p> <p>3. Build productive research groups &amp; university wide research programs in areas that reflect UWS's distinctive strengths and orientation to practical knowledge</p> <p>4. Develop effective research partnerships with industries, organisations and communities in GWS, as well as nationally and internationally</p>	<p>1.1 Provide a research development program at College &amp; University levels aligned with UWS strategic directions</p>	<p><u>Research Active Staff</u> % of academic staff classified as 'research active' by UWS</p>	<p>30% by 2005; 40% by 2008</p>
	<p>1.2 Foster a distinctive research culture that encourages synergies across disciplines &amp; collaboration among students, researchers, industry, government &amp; community</p>	<p><u>Competitiveness of UWS research</u> Income from "other public sector" and "industry and other" sources</p>	<p>Increase annually</p>
	<p>1.3 Ensure that exemplary ethical standards underpin all research projects &amp; collaborations</p>	<p><u>Research Output</u> Weighted research publications per FTE academic staff member</p>	<p>Rate of 1.0 publications by 2008</p>
	<p>2.1 Enhance UWS effort in research development support</p>	<p><u>Competitiveness of UWS research</u> % Growth in total research income</p>	<p>Average annual increase in total research income of 5% (2004-2008)</p>
	<p>2.2 Promote targeted development of contract research and consultancy</p>	<p><u>Consultancy Income</u></p>	<p>Average annual increase in consultancy income of 7% (2004-2008)</p>
	<p>2.3 Improve commercialisation opportunities arising from collaborative research</p>	<p><u>Research Commercialisation</u></p>	<p>Average annual increase in total research income of 5% (2004-2008)</p>
	<p>2.4 Communicate UWS research orientations, strengths &amp; achievements</p>	<p><u>Competitiveness of UWS Research</u> % Growth of total research income</p>	<p>Research income growth rate for research concentration concentrations exceeds targets for University as a whole (5%) by 2008</p>
	<p>3.1 Establish a balanced profile of UWS research concentrations</p>	<p><u>Research Concentration</u> % Growth of research concentration income</p>	<p>50% of research student load by 2008 in designated areas of research concentration</p>
	<p>3.2 Develop University-wide interdisciplinary research programs in key areas</p>	<p><u>Concentration of Research Training</u> Share of research training places</p>	
	<p>3.3 Increase critical mass, improve governance &amp; enhance sustainability of research centres</p>		
	<p>3.4 Enhance the research infrastructure supporting research centres &amp; University research programs</p>		
	<p>4.1 Promote and encourage collaboration with regional industry, government &amp; community groups in research &amp; consultancy</p>	<p><u>Industry-linked research</u> Income from industry sponsored Australian competitive grants</p>	<p>Average annual increase of 5% in industry sponsored Australian competitive grant income 2004-2008</p>
<p>4.2 Develop an integrated strategy</p>		<p>Average annual increase of 5% in international</p>	

<p>5. Establish distinctive research higher degree programs marked by their relevance to industry, government &amp; community futures</p>	<p>for the Offices of Research Services, Business Development &amp; Regional Development to promote research partnerships</p> <p>4.3 Promote and encourage national research collaboration</p> <p>4.4 Develop targeted international research links</p> <p>1.1 Provide a suite of flexible &amp; distinct research training programs that attract high quality students</p> <p>1.2 Provide an intellectually stimulating &amp; supportive environment for research students</p> <p>1.3 Enhance the preparation of research students for careers in industry, government and universities</p> <p>1.4 Ensure high quality academic supervision of research students</p> <p>1.5 Increase the number of fee-paying research students and scholarships</p>	<p><u>International Research</u> Income from international research</p> <p><u>Regional support and relevance</u> Income from research and consultancy partnerships and projects in GWS</p> <p><u>Number of consultancies and partnerships</u></p> <p><u>Higher Degree Research (HDR) Students</u> Number of domestic HDR students (RTS and fee-paying)</p> <p><u>Number of fee-paying international HDR Students</u></p> <p><u>Research Training Effectiveness</u> Ratio of research degree completions to student load</p>	<p>research income 2004-2008</p> <p>Average annual increase of 10% in research and consulting income from GWS 2004-2008</p> <p>Annual increase in number of partnerships</p> <p>Domestic HDR students increased to 480 EFTSU by 2008</p> <p>International fee-paying HDR students increased to 100 EFTSU by 2008</p> <p>Maintain parity with sector average</p>
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## Regional & Community Engagement

Strategic Goals	Priorities	Measures	Target	
1. Achieve national and international renown for leadership & scholarship in community engagement	1.1 Encourage & promote community engagement in all UWS activities & in the sense of UWS identity & culture held by staff and students	<u>Regional and Community Engagement</u> Level of engagement (local, national, international)	Indicators of engagement published by end 2004	
	1.2 Develop the University's national and international reputation for excellence in community engagement	<u>Number of GWS partnerships</u> Membership of key GWS organisations and boards	Development of community engagement directory and database to identify partnerships, relevant organisations and boards and UWS memberships by 2005	
	1.3 Promote community engagement as a valuable scholarly activity & achieve excellence in the scholarship of engagement	<u>University Reputation</u> UWS share of first to third preferences of all eligible school leavers	Improved share of first to third preferences each year	
	1.4 Identify, coordinate and allocate resources for engagement with key communities in GWS & beyond	<u>Regional Reputation</u> First to third preferences of eligible GWS school leavers % Commencing students from GWS	Improved share of eligible GWS first to third preferences each year Maintain high level of GWS commencing students	
	2. Excel in the development & application of scholarship & knowledge in regional and community contexts	2.1 Strengthen the University's position as the leading educational institution in the region	<u>Regional Visibility and Impact</u> Scale of positive media coverage: – number of stories (print, radio, TV)	Increased positive media coverage of University achievements and outreach annually
		2.2 Increase the scale and impact of research in the areas of regional and community priority	<u>Regional support and relevance</u> Level of funded research and consultancy partnerships and projects in GWS	Annual increase in number of partnerships Average annual increase of 10% in income 2004-2008
		2.3 Gain recognition as a key cultural and intellectual resource for GWS & the wider Sydney region	<u>Student Engagement</u> Number of students in Cooperative Programs % of courses with community-engaged learning	At least 500 students participating in UWS Cooperative Programs by 2008 Increased community-engaged learning opportunities in GWS
	3. Make strategic use of resources & partnerships to provide leadership in community engagement & regional development	3.1 Use the University's national and international perspectives for the benefit of GWS and other key communities	<u>Engagement of UWS Alumni</u> Level of participation by alumni	Increased numbers of UWS alumni actively involved in the University community each year
		3.2 Strengthen & maintain mutually beneficial partnerships with community groups, regional organisations & businesses		
		3.3 Provide leadership in regional development for GWS		
		3.4 Promote the regional economy and environmental sustainability in GWS		
		3.5 Promote the role and responsibility of each GWS campus to engage with their surrounding communities and serve as portals for the University		
	4. Promote civil society & sustainable communities by building their social & intellectual capital	4.1 Produce graduates who are good citizens & who contribute to their communities		
		4.2 Encourage & equip graduates with skills to build organisations & promote civil society & sustainable communities		
4.3 Conduct research into the development of civil society & sustainable communities in GWS				

### Attachment 3

## Successful Approaches to Planned Change in Universities

### The Research

Principle	Comment
Where significant strategic change is involved, the approach must take into account what motivates staff to engage in and stick with change	What engages staff is seeing the personal relevance, need, desirability, feasibility, distinctiveness, & clarity of what is proposed. Engagement is enhanced if staff are appropriately involved from the outset in suggesting what might happen within their area of expertise, and if change is linked to both intrinsic motivators and extrinsic motivators.
Alignment is key	Strategic planning is fundamentally about maintaining the university's ongoing alignment with its changing environment, both externally and internally. There needs to be synergy between the university's mission (moral purpose), mandate, vision and its key strategic directions. A key alignment challenge involves figuring out how best to balance mission, market and risk.
Decision-making about key strategic directions is evidence-based not anecdotal	This evidence can be quantitative and qualitative and can focus on a current performance analysis or on indications of what might unfold in the coming years. The challenge is to ensure that such data are valid, accurate, timely and comprehensive whilst also allowing room for creative thinking. The general approach can best be described as being one of 'informed intuition'.
The focus is on thinking and acting strategically not producing long proscribed plans	Being strategic is more about having a small number of wisely formulated, widely supported strategic directions than it is about detailed proscription of what must be done. This implies that all sections of the university need to align their energies to contribute to each direction.
Only a small number of overall key strategic directions, targets and tracking measures at the University level are set	Once agreed these form the non-negotiable parameters within which local units identify suitable solutions, given their particular operating environment and core business. Each unit's contribution is likely to be distinct and some will make a more significant contribution on some parameters than others.
Each key strategic area of major change is funded	Three types of funding for each key strategic change should be considered; (a) support for coordination and facilitation, (b) reward funding for achieving key targets, (c) support for implementation and monitoring.
The focus in major change is on collaborative action	Carefully selected action teams work together to identify the most relevant, feasible and distinctive local solutions. Performance on each key change is monitored and drawn together centrally each year in order to determine overall university progress in the area, to disseminate successful local practice and determine optimum distribution of the budget allocation to each key strategic direction.
Clear accountability and responsibility	The roles and accountabilities for developing and implementing key strategic directions are clear and continuously monitored through a systematically applied individual performance management system.
Leadership	Sustained leadership is put in place during implementation of any major strategic change. This operates at both the senior level and through the leaders of local action teams responsible for each key strategic direction.
Managing strategic change requires an ability to manage paradox	Effective strategic change management requires figuring out where to set the balance between top down and bottom up strategies, stability and change, academic and administrative change, listening and leading, looking inside and outside for change ideas and solutions, enhancing current practice and setting out in a quite new direction.

## Attachment 4

### Effective implementation of desired changes in Universities: The Research

Implementation Lesson	Comment
Implementation is a learning (and unlearning) process for all concerned, it is not an event like the launch of a strategic plan	Staff will not engage in learning the 'gaps' in their expertise necessary to put a desired strategic change into practice if they do not see that what is proposed as being relevant, desirable and feasible. Motivators to persevere can be both intrinsic (e.g. the satisfaction of seeing students learn, achieving a moral purpose, finishing a project on time to specification) and extrinsic (e.g. threat of job loss, possibility of rewards, positive feedback from one's supervisor, peer support)
Culture is a powerful influence on motivation to engage in and stick with change	Culture ('the way we do things round here') can help or hinder engagement in change. Attachment Five presents the results of a series of senior manager forums on what university cultures help or hinder engagement in strategic change
Change in one area of university activity typically triggers required change in another	For example academic developments in IT-enabled learning automatically trigger a need for adjustments in the infrastructure and support systems that underpin them. Equally a move to summer or winter intensive programs triggers a need for more rapid processing of grades in subjects which are a prerequisite for the following semester
Collaborative action research is the best way to ensure a desired strategic change is implemented	However, the team must be carefully selected to match what is needed to make the change work and must be led by a person with the emotional intelligence and expertise in the area being pursued that are necessary to ensure that all members work collaboratively and contribute their expertise
Change is a cyclical not a linear process	As Francis Bacon observed: 'We rise to great heights by a winding staircase'. This means that the action team which leads the local implementation process for a specific change needs to identify, pilot, evaluate and refine potentially relevant solutions under controlled conditions before scale up is attempted. Having done this, the team can also subsequently become a learning resource for other staff because they have had practical experience in making the change work under local conditions
Potentially relevant change solutions lie both outside and inside the university	Effective solutions may lie hidden in pockets within one's home university. Equally, however, they may exist in similar universities and institutions elsewhere. And this is where strategic networking, shared tracking systems and working in a reciprocal way with equivalent institutions within and beyond Australia is so important.
The implementation of change does not just happen, it must be led	This is necessary not only as strategic change priorities are being developed but also as they are being put into practice. There is an extensive data base now available on effective leadership of change in higher education. Much of this indicates that the most effective leaders of change implementation share the same attributes of the most effective adult educators. This research also indicates that everyone can be a leader of change in their own area of expertise
Managing implementation involves having to manage paradox	Making change happen requires figuring out how best to balance top down and bottom up strategies; listening and leading; focusing on core and support changes; stability with change; improving current practice and setting out in quite new directions
Beware of a number of change implementation myths	<p>These include:</p> <ul style="list-style-type: none"> <li>• The consensual myth ('we all decided to put our lecture notes on the web so that's the right thing to do')</li> <li>• The change event myth ('well the hard work's done, we've got the strategic plans approved, now all you have to do is implement them')</li> <li>• The silver bullet myth ('just follow this 5 step change method &amp; all will be well')</li> <li>• The brute logic myth ('I've told them three times now and they still can't see that introducing problem-based learning in this course will make it more exciting')</li> <li>• The knight on a white charger myth ('All will be well now that we have a new Dean')</li> <li>• The either or myth ('There's nothing I can do – I'm a victim of forces beyond my control')</li> <li>• The restructure myth ('Now we've restructured the university will be a success')</li> </ul>

## Attachment Five

<b>A University Culture unsupportive of effective change management</b>	<b>A University Culture supportive of effective change management</b>
Endless meetings, poorly focused with no discernible outcome – a focus on talk without action. ‘Contrived collegiality’ or a tendency for group consensus to override taking hard, evidence-based change decisions	A commitment to collective action – more ‘ready, fire, aim’ than ‘ready, aim, aim, aim’ using carefully monitored pilot projects to learn how best to make a desired change work by doing it
Decision-making is ad hoc and anecdotal	Evidence-based decision-making which is outcomes focused – consensus is around robust data and research evidence not simply around the table
Lack of clarity about what really counts most to the university	People know what is happening and what the key change issues are that affect them and which are being pursued
Communication overload where a ‘shot gun’ approach to using Emails and memos is used and there is no indication of their relative importance or response to feedback given	Communication is controlled, focused, targeted, personal and followed up with action.
Pockets of excellence which are unknown to others	There is a systematic approach to identifying good practice, rewarding and disseminating it
Intolerance of diversity. Tendency towards ‘group think’  Small cliques of people being ‘in the know’ whereas many others are left out	Recognition/toleration of diversity & encouragement of justified dissent  Decision-making is consultative, inclusive, decisive and transparent
Individualised, competitive, isolated pockets of practitioners, without any shared institutional ‘moral purpose’  High levels of micropolitical behaviour, passive resistance, anomie, back-room deals and ‘back stabbing’	Existence of a large number of reciprocal, informal networks and ‘communities of practice’ both within and beyond the university  A ‘can do’ feel where people help and share ideas with each other in key areas
Individual and institutional defensiveness about criticism or poor performance  Unwillingness to question traditional approaches, structures, systems	Willingness to face and address areas of poor performance.
Transfer of responsibility to others : ‘why don’t they’	Widespread acceptance of responsibility and accountability – ‘a why don’t we’ mentality
People are cynical, uninterested or negative about the institution. There is a high staff turn over rate  Staff are hard to access and unresponsive  The institution is slow to respond and overly bureaucratic	Staff are proud to be working at the institution. There is a low staff turn over rate  A strong commitment to responsiveness & doing a quality job with students and other key beneficiaries of the university’s work. A commitment to equity, transparency and fairness
Senior executive are isolated and show little interest or commitment to getting into contact with line staff	Senior Executive are in regular personal contact with staff and their priorities for change are widely known
Staff ‘work around’ poor performers and tolerate them not ‘pulling their weight’. An unwillingness to raise unpleasant issues in the interests of social affinity	Staff are interested in finding out key areas where they need to improve and then set about addressing these
A primary focus on economic performance and buildings	Strong support for the triple bottom line – economic, social and sustainability outcomes
Limited knowledge of which staff are doing high quality work or recognition of it	Rewards for strategically important collaboration across disciplinary boundaries and between academic and support areas